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PTO/SB/05 (11-00)

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. PF199D2
First Inventor Ni et al.
Title Natural Killer Cell Enhancing Factor C
Express Mail Label No.

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages: 47]
(preferred arrangement set forth below)
- Descriptive title of the Invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 8]
5. ☒ Oath or Declaration [Total Pages 2]
a. ☐ Newly executed (original or copy)
b. ☒ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 17 completed)
i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76.

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
a. ☐ Computer Readable Form (CRF)
b. Specification Sequence Listing on
i. ☐ CD-ROM or CD-R (2 copies), or
ii. ☒ paper [Total Pages: 11]
c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☒ Copy of Assignment Papers (cover sheet & document(s)) from prior application serial no. 08/467,265 (4 pages)
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement/ Form PTO/SB/08
☐ Copies of Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(should be specifically returned)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☒ Other: Request Under 37 C.F.R. § 1.821(e).
Information Disclosure Statement w/PTO/SB/08 (4 pages)

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☒ Divisional ☐ Continuation-in-Part (CIP) of prior application No. 09/407,891, filed September 29, 1999.

Prior application information: Examiner: Mertz, P. Group/Art Unit: 1646

For CONTINUATION OR DIVISIONAL APFS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

22195

or ☐ Correspondence address below

NAME

ADDRESS

CITY

STATE

ZIP CODE

COUNTRY

TELEPHONE

FAX

NAME (Print/Type)

Jonathan L. Klein

Registration No. (Attorney/Agent)

41,119

SIGNATURE

Jonathan L. Klein

Date July 24, 2001

Burden Hour Statement (This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

Complete if Known

Application Number		Unassigned
Filing Date		Herewith
First Named Inventor		Ni et al.
Examiner Name		Unassigned
Group Art Unit		Unassigned
Total amount of payment	\$3,126.00	Attorney Docket Number PF199D2

METHOD OF PAYMENT (CHECK ONE)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:
 Deposit Account **08-3425**
 Number
 Deposit Account **Human Genome Sciences, Inc.**
 Name

☒ Charge Any Additional Fee Required
 Under 37 CFR §§ 1.16 and 1.17

☐ Applicant claims small entity status
 See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit Card ☐ Money Order ☒ Other*

*Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 08-3425

FEE CALCULATION

1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101 ^{gm}	710	201	355	Utility filing fee	\$710.00
102 sm	320	206	160	Design filing fee	
103 sm	490	207	245	Plant filing fee	
104 sm	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	
Subtotal (1)					\$710.00

2. EXTRA CLAIM FEES

Total claims	132	> 20**	Extra 112	Fee from below \$18.00	Fee Paid \$2,016.00
Indep. claims	8	> 3**	5	\$80.00	\$ 400.00
Multiple Dependent					\$

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim
108	80	209	40	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent
Subtotal (2)				\$2,416.00

FEE CALCULATION (CONTINUED)

3. ADDITIONAL FEES

Large Entity Small Entity

Fee Fee Fee Fee
 Code (\$ Code (\$)

105 130 205 65

127 50 227 25

139 130 139 130

147 2,520 147 2,520

112 920 112 920

113 1,840 113 1,840

115 110 215 55

116 390 216 195

117 890 217 445

118 1,390 218 695

128 1,890 228 945

119 310 219 155

120 310 220 155

121 270 221 135

138 1,510 138 1,510

140 110 240 55

141 1,240 241 620

142 1,240 242 620

143 440 243 220

144 600 244 300

122 130 122 130

123 50 123 50

126 180 126 180

581 40 481 40

146 710 246 355

149 710 249 355

179 710 279 355

169 190 169 900

Other fee (specify):

Other fee (specify):

*Reduced by Basic Filing Fee Paid

Fee Description

Surcharge - late filing of Oath or Declaration

Surcharge - late provisional filing fee or cover sheet

Non-English specification

For filing a request for *ex parte* reexamination

Requesting publication of SIR prior to Examiner action

Requesting publication of SIR after Examiner action

Extension for reply within first month

Extension for reply within second month

Extension for reply within third month

Extension for reply within fourth month

Extension for reply within fifth month

Notice of Appeal

Filing a brief in support of an appeal

Request for oral hearing

Petition to institute a public use proceeding

Petition to revive -unavailable

Petition to revive - unintentional

Utility issue fee (or reissue)

Design issue fee

Plant issue fee

Petitions to the Commissioner

Petitions related to provisional applications

Submission of Information Disclosure Statement

Recording each patent assignment per property (times number of properties)

Filing a submission after final rejection (37 CFR 1.129(a))

For each additional invention to be examined (37 CFR 1.129(b))

Request for Continued Examination (RCE)

Request for expedited examination of a design application

Other fee (specify):

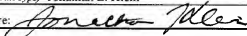
Other fee (specify):

Subtotal (3)

\$0.00

Submitted By

Name (Print/Type) Jonathan L. Klein

Signature: 

Registration No.: 41,119

Telephone (301) 251-6015

Date July 24, 2001

WARNING: Information on this form may become public. Credit card information should not

be included on this form. Provide credit card information and authorization on PTO-2638.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Ni et al.

Attorney Docket No.: PF199D2

Application Serial No.: Unassigned

Art Unit: Unassigned

Filed: Herewith

Examiner: Unassigned

Title: Natural Killer Cell Enhancing Factor C

REQUEST UNDER 37 C.F.R. § 1.821(e)

Commissioner for Patents
Washington, D.C. 20231

Sir:

The above-identified patent application is a divisional of Application Serial No. 09/407,891, filed September 29, 1999, which is a divisional of Application Serial No. 08/467,265, filed June 6, 1995. The sequence listing of the instant application is identical to the sequence content of the computer readable sequence listing previously filed in connection with Application Serial No. 08/467,265.

In accordance with 37 C.F.R. § 1.821(e), please use the computer readable form filed in connection with Application Serial No. 08/467,265 as the computer readable form for the instant application. It is understood that the Patent and Trademark Office will make the necessary change in application number and filing date for the computer readable form that will be used for the instant application. A paper copy of the Sequence Listing is included in the specification of the instant application filed herewith. Applicants hereby certify that the paper copy of the Sequence Listing filed herewith and the computer readable form of the sequence listing previously filed in connection with Application Serial No. 08/467,265 are the same and do not include new matter.

Respectfully submitted,

Date: July 24, 2001


Jonathan L. Klein (Reg. No. 41,119)
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